

02/11/00



Please type a plus sign (+) inside this box →

+

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/05 (1/98)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 1142

First Inventor or Application Identifier Keith Rose

Title METHOD AND APPARATUS FOR RECEIVING A SUBSCRIPTION FOR A SECURITY

Express Mail Label No. EL528759378US

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)

2. ☒ Specification [Total Pages 16]
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the invention
- Brief Summary of the invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]

4. Oath or Declaration [Total Pages 4]

- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]

i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & documents)
9. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ * Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:

* A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No:

Prior application information: Examiner Group / Art Unit:

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Charles E. Gottlieb				
	Law Offices of Charles E. Gottlieb				
Address	540 University Avenue				
	Suite 300				
City	Palo Alto	State	CA	Zip Code	94301
Country	US	Telephone	650-328-0100		650-328-2844

Name (Print/Type)	Charles E. Gottlieb	Registration No. (Attorney/Agent)	38,164
Signature	Charles E. Gottlieb	Date	February 11, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time that you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

002/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	FEE TRANSMITTAL	
TOTAL AMOUNT OF PAYMENT (\$) 730		<i>Complete if Known</i>	
		Application Number	
		Filing Date	2/11/2000
		First Named Inventor	K ith Ros
		Group Art Unit	
		Examiner Name	
		Attorney Docket Number	1142

METHOD OF PAYMENT (check one) 1 <input type="checkbox"/> The Commissioner is hereby authorized to charge Indicated fees and credit any overpayment to: Deposit Account Number: 07-1738 Deposit Account Name: Law Offices of Charles E. Gottlieb <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17. <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) 2. <input checked="" type="checkbox"/> Payment Enclosed <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other	FEE CALCULATION (continued) 3 ADDITIONAL FEES <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity</th> <th style="text-align: left;">Small Entity</th> <th style="text-align: left;">Description</th> <th style="text-align: left;">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge-late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2390</td><td>147</td><td>2390</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920</td><td>112</td><td>920</td><td>Requesting a publication of SIR prior to Examiner action *</td><td></td></tr> <tr><td>113</td><td>1840</td><td>113</td><td>1840</td><td>Requesting publication of SIR after Examiner action *</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for response within first month</td><td></td></tr> <tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for response within second month</td><td></td></tr> <tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for response within third month</td><td></td></tr> <tr><td>118</td><td>1360</td><td>218</td><td>680</td><td>Extension for response within fourth month</td><td></td></tr> <tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1430</td><td>138</td><td>1430</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive unavoidably abandoned application</td><td></td></tr> <tr><td>141</td><td>1210</td><td>241</td><td>605</td><td>Petition to revive unintentionally abandoned application</td><td></td></tr> <tr><td>142</td><td>1210</td><td>242</td><td>605</td><td>Utility Issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design Issue Fee</td><td></td></tr> <tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant Issue Fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (x no. properties)</td><td>40</td></tr> <tr><td>146</td><td>760</td><td>246</td><td>380</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>760</td><td>249</td><td>380</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL (3)</td> <td style="border: 1px solid black;">(\$) 40</td> </tr> </tbody> </table>	Large Entity	Small Entity	Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	105	130	205	65	Surcharge-late filing fee or oath		127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2390	147	2390	For filing a request for reexamination		112	920	112	920	Requesting a publication of SIR prior to Examiner action *		113	1840	113	1840	Requesting publication of SIR after Examiner action *		115	110	215	55	Extension for response within first month		116	380	216	190	Extension for response within second month		117	870	217	435	Extension for response within third month		118	1360	218	680	Extension for response within fourth month		119	300	219	150	Notice of Appeal		120	300	220	150	Filing a brief in support of an appeal		121	260	221	130	Request for oral hearing		138	1430	138	1430	Petition to institute a public use proceeding		140	110	240	55	Petition to revive unavoidably abandoned application		141	1210	241	605	Petition to revive unintentionally abandoned application		142	1210	242	605	Utility Issue fee (or reissue)		143	430	243	215	Design Issue Fee		144	580	244	290	Plant Issue Fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (x no. properties)	40	146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))		149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify) _____						Other fee (specify) _____						SUBTOTAL (3)				(\$) 40
Large Entity	Small Entity	Description	Fee Paid																																																																																																																																																																													
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																																																																													
105	130	205	65	Surcharge-late filing fee or oath																																																																																																																																																																												
127	50	227	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																												
139	130	139	130	Non-English specification																																																																																																																																																																												
147	2390	147	2390	For filing a request for reexamination																																																																																																																																																																												
112	920	112	920	Requesting a publication of SIR prior to Examiner action *																																																																																																																																																																												
113	1840	113	1840	Requesting publication of SIR after Examiner action *																																																																																																																																																																												
115	110	215	55	Extension for response within first month																																																																																																																																																																												
116	380	216	190	Extension for response within second month																																																																																																																																																																												
117	870	217	435	Extension for response within third month																																																																																																																																																																												
118	1360	218	680	Extension for response within fourth month																																																																																																																																																																												
119	300	219	150	Notice of Appeal																																																																																																																																																																												
120	300	220	150	Filing a brief in support of an appeal																																																																																																																																																																												
121	260	221	130	Request for oral hearing																																																																																																																																																																												
138	1430	138	1430	Petition to institute a public use proceeding																																																																																																																																																																												
140	110	240	55	Petition to revive unavoidably abandoned application																																																																																																																																																																												
141	1210	241	605	Petition to revive unintentionally abandoned application																																																																																																																																																																												
142	1210	242	605	Utility Issue fee (or reissue)																																																																																																																																																																												
143	430	243	215	Design Issue Fee																																																																																																																																																																												
144	580	244	290	Plant Issue Fee																																																																																																																																																																												
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																												
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																												
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																																												
581	40	581	40	Recording each patent assignment per property (x no. properties)	40																																																																																																																																																																											
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																												
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																												
Other fee (specify) _____																																																																																																																																																																																
Other fee (specify) _____																																																																																																																																																																																
SUBTOTAL (3)				(\$) 40																																																																																																																																																																												

1. FILING FEE <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity</th> <th style="text-align: left;">Small Entity</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: left;">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr><td>101</td><td>690</td><td>201</td><td>345</td><td>Utility filing</td><td>690</td></tr> <tr><td>106</td><td>310</td><td>206</td><td>155</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>480</td><td>207</td><td>240</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>690</td><td>208</td><td>345</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td><td></td></tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL (1)</td> <td style="border: 1px solid black;">(\$) 690</td> </tr> </tbody> </table>		Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	101	690	201	345	Utility filing	690	106	310	206	155	Design filing fee		107	480	207	240	Plant filing fee		108	690	208	345	Reissue filing fee		114	150	214	75	Provisional filing fee		SUBTOTAL (1)				(\$) 690	2. CLAIMS <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Total Claims Independent Claims</th> <th style="text-align: left;">16 - 20 =</th> <th style="text-align: left;">2 - 3 =</th> <th style="text-align: left;">Multiple Dependent Claims</th> <th style="text-align: left;">Extra</th> <th style="text-align: left;">Fee from below</th> <th style="text-align: left;">Fee Paid</th> </tr> </thead> <tbody> <tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table> <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity</th> <th style="text-align: left;">Small Entity</th> <th style="text-align: left;">Fee Description</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td></tr> <tr><td>102</td><td>78</td><td>202</td><td>39</td><td>Independent claims in excess of 3</td></tr> <tr><td>104</td><td>260</td><td>204</td><td>130</td><td>Multiple dependent claim</td></tr> <tr><td>109</td><td>78</td><td>209</td><td>39</td><td>Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>Reissue claims in excess of 20 and over original patent</td></tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (2)</td> <td style="border: 1px solid black;">(\$)</td> </tr> </tbody> </table>	Total Claims Independent Claims	16 - 20 =	2 - 3 =	Multiple Dependent Claims	Extra	Fee from below	Fee Paid																						Large Entity	Small Entity	Fee Description	Fee Code	Fee (\$)	Fee Code	103	18	203	9	Claims in excess of 20	102	78	202	39	Independent claims in excess of 3	104	260	204	130	Multiple dependent claim	109	78	209	39	Reissue independent claims over original patent	110	18	210	9	Reissue claims in excess of 20 and over original patent	SUBTOTAL (2)			(\$)
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																									
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																									
101	690	201	345	Utility filing	690																																																																																																							
106	310	206	155	Design filing fee																																																																																																								
107	480	207	240	Plant filing fee																																																																																																								
108	690	208	345	Reissue filing fee																																																																																																								
114	150	214	75	Provisional filing fee																																																																																																								
SUBTOTAL (1)				(\$) 690																																																																																																								
Total Claims Independent Claims	16 - 20 =	2 - 3 =	Multiple Dependent Claims	Extra	Fee from below	Fee Paid																																																																																																						
Large Entity	Small Entity	Fee Description																																																																																																										
Fee Code	Fee (\$)	Fee Code																																																																																																										
103	18	203	9	Claims in excess of 20																																																																																																								
102	78	202	39	Independent claims in excess of 3																																																																																																								
104	260	204	130	Multiple dependent claim																																																																																																								
109	78	209	39	Reissue independent claims over original patent																																																																																																								
110	18	210	9	Reissue claims in excess of 20 and over original patent																																																																																																								
SUBTOTAL (2)			(\$)																																																																																																									

SUBMITTED BY				<i>Complete (if applicable)</i>	
Typed or Printed Name	Charles E. Gottlieb			Reg. Number	38,164
Signature		Date	2/11/2000	Deposit Account User ID	Charles Gottlieb

Burden Hour Statement: This form is estimated to take .2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.